

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Ian Kenneth Shepherd

Appl. No. To be assigned (Continuation of  
U.S. Appl. No. 09/667,423; Filed:  
September 21, 2000)

Filed: Herewith

For: **Methods and Apparatus Relating  
to the Formulation and Trading of  
Investment Contracts**

Confirmation No.: n/a

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 1033.0180002

**Preliminary Amendment Under 37 C.F.R. § 1.111 and in the Revised  
Format of the Pre-OG Notice Dated January 31, 2003**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Prior to examination of the present application, Applicant submits the following Preliminary Amendment. This Amendment is provided in the format approved in the pre-OG Notice dated January 31, 2003, entitled, "Amendments In A Revised Format Now Permitted," as follows:

- (A) Each section begins on a separate sheet;
- (B) Starting on a separate sheet, amendments to the specification by presenting replacement paragraphs marked up to show changes made;
- (C) Starting on a separate sheet, a complete listing of all of the claims:
  - in ascending order;
  - with status identifiers; and
  - with markings in the currently amended claims;
- (D) Starting on a separate sheet, the Remarks.

It is not believed that extensions of time or fees for net addition of claims are required beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional extensions of time are necessary to prevent abandonment of this application, then such extensions of time are hereby petitioned under 37 C.F.R. § 1.136(a), and any fees required therefor (including fees for net addition of claims) are hereby authorized to be charged to our Deposit Account No. 19-0036.